

07-11-01

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# UTILITY PATENT APPLICATION TRANSMITTAL (Large Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
11675.101.1.1

Total Pages in this Submission

## TO THE ASSISTANT COMMISSIONER FOR PATENTS

Box Patent Application  
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

METHOD OF MAKING A SELF-ALIGNED RECESSED CONTAINER CELL CAPACITOR

and invented by:

Michael A. Walker and Karl M. Robinson

If a CONTINUATION APPLICATION, check appropriate box and supply the requisite information:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/249,388

Which is a:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 08/940,307

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Enclosed are:

## Application Elements

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 20 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☒ Cross References to Related Applications (if applicable)
  - c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
  - d. ☐ Reference to Microfiche Appendix (if applicable)
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings (if drawings filed)
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Larg Entity)**

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**Application Elements (Continued)**

3. ☒ Drawing(s) *(when necessary as prescribed by 35 USC 113)*
- a. ☒ Formal                      Number of Sheets 3
- b. ☐ Informal                      Number of Sheets \_\_\_\_\_
4. ☒ Oath or Declaration
- a. ☐ Newly executed *(original or copy)*                      ☐ Unexecuted
- b. ☒ Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional application only)*
- c. ☒ With Power of Attorney                      ☐ Without Power of Attorney
- d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference *(usable if Box 4b is checked)*  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under  
Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby  
incorporated by reference therein.
6. ☐ Computer Program in Microfiche *(Appendix)*
7. ☐ Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all must be included)*
- a. ☐ Paper Copy
- b. ☐ Computer Readable Copy *(identical to computer copy)*
- c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

**Accompanying Application Parts**

8. ☒ Assignment Papers *(cover sheet & document(s))*
9. ☐ 37 CFR 3.73(B) Statement *(when there is an assignee)*
10. ☐ English Translation Document *(if applicable)*
11. ☐ Information Disclosure Statement/PTO-1449                      ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing
- ☐ First Class    ☒ Express Mail *(Specify Label No.):* EL813863474US

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Large Entity)**

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**Accompanying Application Parts (Continued)**

15. ☐ Certified Copy of Priority Document(s) *(if foreign priority is claimed)*

16. ☒ Additional Enclosures *(please identify below):*

Transmittal Letter  
Check # 121827

**Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)**

17. ☐ Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

**Warning**

***An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.***

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Larg Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

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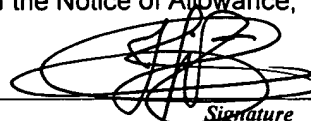
Total Pages in this Submission

**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	22	- 20 =	2	x \$18.00	\$36.00
Indep. Claims	3	- 3 =	0	x \$80.00	\$0.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$710.00
OTHER FEE (specify purpose)					\$0.00
TOTAL FILING FEE					\$746.00

- ☒ A check in the amount of \$746.00 to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 23-3178 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

  
Signature

Jesus Juanos i Timonedá, Ph. D.  
Attorney for Applicant  
Reg. No. 43,332

Dated: July 9, 2001



**022901**

CC: PATENT TRADEMARK OFFICE

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Walker, et al.

Docket No.

11675.101.1.1

Serial No.

Not Yet Assigned

Filing Date

July 9, 2001

Examiner

Not Yet Assigned

Group Art Unit

Not Yet Assigned

Invention: **METHOD OF MAKING A SELF-ALIGNED RECESSED CONTAINER CELL CAPACITOR**I hereby certify that this Correspondence as listed below:

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

July 9, 2001

(Date)

**022901**

PATENT TRADEMARK OFFICE

Tiffany L. Treadway

(Typed or Printed Name of Person Mailing Correspondence)

  
(Signature of Person Mailing Correspondence)EL813863474US

("Express Mail" Mailing Label Number)

**Note: Each paper must have its own certificate of mailing.**

Transmittal Letter (1 pg. in dup); Utility Patent Application  
Transmittal (4 pgs.); Patent Application (20 pgs.); Dec.,  
Oath and Assignment (10 pgs.); 3 Sheets Formal Drawings;  
Check # 121827; Postcard

**TRANSMITTAL LETTER**  
**(General - Patent Pending)**

Docket No.  
11675.101.1.1

In Re Application Of: Walker, et al.

Serial No.  
Not Yet Assigned

Filing Date  
July 9, 2001

Examiner  
Not Yet Assigned

Group Art Unit  
Not Yet Assigned

Title: METHOD OF MAKING A SELF-ALIGNED RECESSED CONTAINER CELL CAPACITOR


TO THE ASSISTANT COMMISSIONER FOR PATENTS:

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Utility Patent Application (4 pgs.); Patent Application (20 pgs.);  
Dec., Oath, and Assignment (10 pgs.); 3 Sheets Formal Drawings;  
Check # 121827; Certificate of Express Mailing #EL813863474US;  
Postcard

In the above identified application.

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Signature

Dated: July 9, 2001

Jesus Juanos i Timoneda, Ph. D.  
Attorney for Applicant  
Reg. No. 43,332



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Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Correspondence

CC:

**TRANSMITTAL LETTER  
(General - Patent Pending)**

Docket No.  
11675.101.1.1

In Re Application Of: Walker, et al.

09/901917  
U.S. PTO  
07/09/01

Serial No.  
Not Yet Assigned

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July 9, 2001

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Not Yet Assigned

Group Art Unit  
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Jesus Juanos i Timoneda, Ph. D.  
Attorney for Applicant  
Reg. No. 43,332



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*Signature of Person Mailing Correspondence*

*Typed or Printed Name of Person Mailing Correspondence*

CC: